

525-EXECUTIVE OFFICE OF THE GOVERNOR

Dept #: 1525/ Department Name: EXECUTIVE OFFICE - OFFICE OF THE GOVERNOR

RDA # RDA Title Retention Disposition PII

00001000. **EXECUTIVE CLEMENCY** **EVT+15** **SHSW** **Y**

Reprieves, commutations and pardons: Granted or denied by the Governor pursuant to Article V, Section 6 of the Wisconsin Constitution and Sections 57.08, 57.09, 57.10, and 57.11 of the Wisconsin Statutes. These files may include individual applications stating name, date of sentence, reason for applying, admission notification of application by judge and district attorney who participated in the trial, the grant of clemency or letter of denial, and related correspondence. Individual applicant files MAY ALSO CONTAIN the applicant's Social Security number, health care records and criminal history information, as well as the victim's home address or other INFORMATION REQUIRED BY LAW TO BE KEPT CONFIDENTIAL. See 42 USC § 405(c)(2)(C)(viii)(I), Wis. Stat. §§ 146.82 and 304.10(3).

Files are primarily paper, filed by year and alphabetically by last name. In addition, there are electronic folders for scheduled hearings of the Parson Advisory Board, containing agendas, hearing notices and other materials generated in connection with a scheduled hearing. Electronic files, formatted as Microsoft Word or Excel documents or PDFs scanned via Adobe Acrobat, are stored on the G Drive.

RETENTION: EVENT (End of term) + 15 years and transfer to State Archives (WHS)

00001A00. **EXECUTIVE CLEMENCY (INCOMPLETE APPLICATIONS)** **EVT+4** **DEST** **Y**

Reprieves, commutations and pardons, authorized pursuant to Article V, Sec. 6, Wisconsin Constitution, and Sections 57.08-57.11 of the Wisconsin Constitution, by the Governor. These files are incomplete, but may include application, stating name, date of sentence, reason for applying, and admission notification of application by judge and district attorney who participated in the trial. These files MAY ALSO CONTAIN the applicant's Social Security number, health care records and criminal history information, and the victim's home address or other INFORMATION REQUIRED BY LAW TO BE KEPT CONFIDENTIAL. See 42 USC § 405(c)(2)(C)(viii)(I), Wis. Stat. §§ 146.82 and 304.10(3).

Files are primarily paper, but may also include electronic documents in Microsoft Word or Excel or PDFs scanned via Adobe Acrobat, stored on the G Drive.

RETENTION: EVENT (End of term) + 4 years and destroy confidential

00002000. **EXTRADITIONS** **EVT+10** **DEST** **Y**

Issued by the Governor pursuant to Chapter 976, Wisconsin Statutes, this is the formal request of the Governor to the governor of another state for the return of an individual who is charged with violating the laws of Wisconsin, and warrants issued by the Governor authorizing the return of a person to a different state.

Documents in these files may include applications from a district attorney or the Department of Corrections, along with court records and documentation establishing probable cause to believe that a crime has been committed, and that the subject of the request committed the crime. Documents in the warrant files include the requisition and supporting documents from the governor of another state, warrant and agent's authority issued by this Governor, and related correspondence. Files are primarily paper, filed by year and alphabetically by last name, but also include electronic records such as email correspondence in Microsoft Outlook, copies of the warrants and extradition requests and tracking records maintained in Microsoft Word or Excel, as well as PDFs scanned materials via Adobe Acrobat. Electronic records are stored on the G Drive.

RETENTION: EVENT (Closed) + 10 years and destroy confidential

00003000. **POLICY FILES** **EVT** **SHSW** **Y**

These are working subject matter files maintained by policy staff and others relating to specified policy areas, particular policy initiatives, designated state agencies, and intergovernmental affairs, among others. These files typically contain correspondence, including email, background information, e.g., clippings, reports, publications and memoranda and other reference materials, and press-produced brochures for major policy initiatives, all used in support of activities associated with policy formulation on behalf of the Governor. Policy formulation activities include, but are not limited to, briefings, budget reviews, speechwriting, and liaison with state and federal officials and agencies. SOME MATERIALS within these files MAY BE CONFIDENTIAL BASED ON ATTORNEY-CLIENT PRIVILEGE OR WORK PRODUCT pursuant to Wis. Stats. § 905.03 and Wis. Newspress, Inc. v. Sch. Dist. of Sheboygan Falls, 199 Wis. 2d 768, 782-83, 546 N.W.2d 143 (1996). In addition to paper records, electronic documents are maintained in Microsoft Word, Excel and Outlook, or as PDFs scanned via Adobe Acrobat. Electronic records are stored on the D Drive.

Note: Administrations may maintain either a central policy file or separate individual files concerning specific functional areas. In either case, retain records until the end of the term of the administration in which the record as created and transfer to the State Historical Society for permanent preservation.

RETENTION: EVENT (End of term) and transfer to State Archives (WHS)

00004000. **BOARD AND COMMISSION APPOINTEE FILES** **EVT+1** **SHSW** **Y**

Materials documenting the Governor's appointments and nominations to state boards, commissions, committees, councils, task forces or other bodies ("board"). Documents in the individual files may include applications, cover sheets, letters of recommendation, letters of

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appointment, resumes of appointees, correspondence, including email, internal communications and letters to individuals being replaced on the respective board.

Although the records are primarily paper, electronic contact information as well as scanned PDF copies of certain appointment records are maintained in the Intranet Quorum Enterprise Contact Management and Workflow for Government database ("IQ"), a proprietary software application developed and licensed by Lockheed Martin. IQ is also used to generate some appointments-related correspondence. Information and documents maintained in IQ duplicate records in the paper file, which is more complete. PDF copies of signed appointment letters scanned via Adobe Acrobat, Microsoft Word documents, and e-mail archived from Microsoft Outlook are stored on the G Drive.

RETENTION: EVENT (End of appointee's term from all positions) + 1 year and transfer to State Archives (WHS)

<u>00005000.</u>	<u>BOARD AND COMMISSION APPLICANT FILES</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
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Materials documenting unsuccessful applications from individuals seeking gubernatorial appointments to state boards, commissions, committees, councils, task forces or other bodies ("boards"). Individual applicant files contain applications or correspondence from individuals seeking gubernatorial appointments, related correspondence, including email, letters of recommendation and reply letters. Files may also contain internal communications regarding applicants.

Although the records are primarily paper, electronic contact information as well as scanned PDF copies of some applicant records are maintained in the Intranet Quorum Enterprise Contact Management and Workflow for Government ("IQ") database, a proprietary software application developed and licensed by Lockheed Martin ("IQ"). IQ is also used to generate some appointments-related correspondence. Information and documents maintained in IQ duplicate records in the paper file which is more complete. Copies of Microsoft Word documents, PDFs scanned via Adobe Acrobat and e-mail archived from Microsoft Outlook are maintained on the G Drive or in IQ.

RETENTION: EVENT (End of term) + 2 years and destroy confidential

<u>00006000.</u>	<u>BOARD FILES</u>	<u>EVT+1</u>	<u>SHSW</u>	<u>Y</u>
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These files contain information concerning each board, commission, committee, council or other body ("boards") created by statute, executive order or directive of the Governor, to which gubernatorial appointments are made. Information may include documents creating the board, minutes of some meetings, reports, correspondence from agencies or individuals regarding the particular board, correspondence regarding board appointees, clippings and press releases. Electronic correspondence is maintained in Microsoft Outlook and additional electronic information and summaries are maintained in Microsoft Word or in PDFs scanned via Adobe Acrobat. Electronic records are stored on the g drive.

Administrative Note: Retain in the office for the duration of the board, if possible; then retain an additional year at the Records Center before transfer to the State Historical Society with authority to weed. For boards which seem likely to be permanent, retain in-house for successor administration, prior to transfer to the Records Center and then to the Historical Society.

RETENTION: EVENT (End of administration) + 1 year and transfer to State Archives (WHS)

<u>00007000.</u>	<u>GOVERNOR'S SCHEDULES</u>	<u>EVT</u>	<u>SHSW</u>	<u>Y</u>
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Summary and detailed versions of the Governor's official activities, including meetings held or attended, public appearances and travel, compiled for use on a daily or longer-term basis. Records concerning the First Lady's and Chief of Staff's schedules are also included in this series. Files include the official copy of briefing materials or "briefing books," including background materials, staff memoranda and other communications relevant to scheduled events that are collected and maintained for the Governor's preparation and appearance at these events, as well as records concerning phone calls made or returned by the Governor and materials from conferences in which the Governor has participated. The schedules themselves are maintained in paper or Microsoft versions. Electronic records, including Microsoft Outlook email, Word or Excel documents, or PDFs scanned via Adobe Acrobat, are maintained on the G Drive.

Administrative Note: Retain until the end of the Governor's administration, then transfer to WHS with authority to weed. Also note that printed copies of the Governor's and Chief of Staff's schedules are routinely transmitted to the Legal Department for redaction and release in response to public records requests. Redacted copies are scanned as PDFs via Adobe Acrobat and stored on the G Drive. Copies of records released under the public records law are scheduled under RDA # 00037.

RETENTION: EVENT (End of administration) and transfer to State Archives (WHS)

<u>00008000.</u>	<u>INVITATIONS & APPEARANCES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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These files include correspondence inviting the Governor or First Lady to attend or participate in numerous types of events, and the replies to such requests. Invitations addressed to the Governor are logged into Intranet Quorum Enterprise Contact Management and Workflow for Government ("IQ"), a proprietary software application developed and licensed by Lockheed Martin, then summarized and scanned for use as a tracking and scheduling tool. Paper copies are filed following entry into IQ. IQ is used to generate letters of regret, and copies of replies are maintained in IQ. Some requests or invitations are scanned and forwarded to individuals or to other state agencies, with a request to attend or maintained in IQ. Some requests or invitations are scanned and forwarded to individuals or to other state agencies, with a request to attend or respond on behalf of the Governor (sometimes called "surrogate requests"). These are coded and tracked in IQ, and then sent via email to the agency or individual for handling. Electronic records are maintained in IQ and Microsoft Outlook email and word documents are archived on the G Drive.

Administrative Note: Retain until the end of the term of the administration in which the event was scheduled, then destroy.

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RETENTION: EVENT (End of term) and destroy confidential

<u>00010000.</u>	<u>GOVERNOR'S SPEECHES</u>	<u>EVT</u>	<u>SHSW</u>	<u>N</u>
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Reading copies of speeches prepared for the Governor's delivery are maintained electronically both in Microsoft Word copies and as PDFs scanned via Adobe Acrobat. These files may also include successive drafts of more significant speeches, e.g., "State of the State," and audio, video or digital recordings of some speeches. In addition to audio- and videotapes, recorded speeches may also be in DVD or HD format. These records are maintained on the G Drive.

Administrative note: Retain until the end of the term in which the speech was created; then transfer to State Historical Society with the authority to weed.

RETENTION: EVENT (End of term) and transfer to State Archives (WHS)

<u>00011000.</u>	<u>PRESS RELEASES</u>	<u>EVT</u>	<u>SHSW</u>	<u>N</u>
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Press releases issued by the Governor's Press Office. These are maintained only in electronic versions, including Microsoft Word documents, PDFs scanned via Adobe Acrobat and as emails sent via Microsoft Outlook. In addition to press releases themselves, staff maintain a "media list" of press contacts, located in Microsoft Outlook or in a Microsoft Excel spreadsheet. All of these records are stored on the G drive.

Administrative Note: Retain until the end of the term in which the record was created; then transfer to State Historical Society for preservation with the authority to weed.

RETENTION: EVENT (End of term) and transfer to State Archives (WHS)

<u>00012000.</u>	<u>CONSTITUENT CORRESPONDENCE</u>	<u>EVT+1</u>	<u>SHSW</u>	<u>Y</u>
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Correspondence from members of the public to the Governor on matters of public interest, replies, and internal records relating to the handling of such correspondence. Incoming correspondence includes individual letters, post cards, petitions and mass-produced form letters, as well as email correspondence received via Microsoft Outlook. In addition, these records include copies of individual replies, form responses sent to petitioners or in response to bulk mail campaigns, tracking information, including referrals within the Governor's Office or to other agencies for direct response, internal communications concerning individual inquiries or subjects of general interest, lists or Microsoft Excel spreadsheets compiling contact and other information concerning correspondence on particular subjects.

Since approximately 2004, incoming constituent correspondence is ordinarily logged and tracked electronically, using Intranet Quorum Enterprise Contact Management and Workflow for Government ("IQ"), a proprietary software application developed and licensed by Lockheed Martin. Incoming constituent correspondence is logged by the name of the correspondent and assigned a unique tracking number. Paper correspondence and related materials are filed under the IQ-assigned number. Replies are maintained only in electronic format, including Microsoft Word, PDFs scanned via Adobe Acrobat, or a code number identifying the form response, with the exception of significant correspondence signed by the Governor, for which a paper copy may also be maintained. The IQ application maintains a library of all form letters used in response to constituent correspondence. Electronic records are stored in IQ and on the G Drive.

RETENTION: EVENT (End of term) + 1 year and transfer to State Archives (WHS)

<u>00014000.</u>	<u>MISCELLANEOUS CORRESPONDENCE (NO RESPONSE)</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
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Correspondence, arranged by date, including general requests for information regarding the State of Wisconsin, letters on various subjects which contained no return address, incomprehensible correspondence or miscellaneous correspondence as to which no useful response was deemed possible. Except for email correspondence, these records are maintained only in paper form and are not ordinarily entered or tracked electronically within the Intranet Quorum database system (see RDA #00012). Email correspondence received via Microsoft Outlook is archived on the G Drive.

Administrative Note: Retain for two years after receipt and review, then destroy.

RETENTION: EVENT (Closed following receipt and review) + 2 years and destroy confidential

<u>00015000.</u>	<u>PROCLAMATIONS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
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Copies of proclamations issued by the Governor and related materials that may include correspondence, including email, initiating requests for a proclamation, staff memoranda concerning the request and a list of proclamations issued. While faxed or mailed correspondence is maintained in a paper file, email correspondence is stored in Microsoft Outlook and copies of the proclamations themselves are retained as Microsoft Word documents. Electronic records will be archived on the G Drive.

Note: Official copy of all proclamations is filed in the Office of the Secretary of State.

RETENTION: EVENT (End of term) + 1 year and destroy

<u>00016000.</u>	<u>CERTIFICATES</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
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Copies of official certificates prepared and signed by the Governor at the request of individuals and organizations, frequently to

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commemorate reunions, celebrations, retirements, birthdays, groundbreaking, and other events of significance to the requester, as well as related records such as the written request sent by mail, fax, or email. While faxed or mailed requests are included in a paper file, emailed requests are stored in Microsoft Outlook and the official copies of the certificates themselves are retained as Microsoft Word documents. Electronic records are archived on the G Drive.

RETENTION: EVENT (Creation) + 1 year and destroy confidential

<u>00017000.</u>	<u>PUBLICATIONS AND REPORTS</u>	<u>EVT+1</u>	<u>SHSW</u>	<u>N</u>
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Reports received by the Governor's Office from state or federal agencies, the Legislature, private companies and from other states, retained by the Governor's Office for potential reference or official use, but not used in connection with specific staff projects.

Note: Copies of reports used as reference materials are filed in subject files throughout the office.

RETENTION: EVENT (Receipt of material) + 1 year and transfer to WI Historical Society, Government Documents Division

<u>00019000.</u>	<u>CORRESPONDENCE</u>	<u>EVT+1</u>	<u>SHSW</u>	<u>Y</u>
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These files include correspondence, including attachments and enclosures, both paper and electronic, addressed or referred to the Chief of Staff, and copies of replies. In addition to paper files, the records consist of email correspondence sent or received through Microsoft Office, with attachments in Microsoft Word or Excel, or PDFs scanned via Adobe Acrobat. Electronic records, including archived email, are stored on the G Drive.

RETENTION: EVENT (End of term) + 1 year and transfer to State Archives (WHS)

<u>00020000.</u>	<u>CHIEF OF STAFF ISSUE FILES</u>	<u>EVT+1</u>	<u>SHSW</u>	<u>Y</u>
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These files relate to important policy or other substantive issues assigned to the Chief of Staff, including budgetary matters, state agency matters, cabinet level agencies and appointments, as well as internal administrative and personnel matters, and may take the form of reports, related paper and electronic correspondence, reference and research materials. Electronic correspondence and documents are maintained in Microsoft Outlook and Microsoft Word or Excel with PDFs scanned via Adobe Acrobat, and are stored on the G Drive.

RETENTION: EVENT (End of term) + 1 year and transfer to State Archives (WHS)

<u>00023000.</u>	<u>STAFF ISSUE FILES</u>	<u>EVT+0/6</u>	<u>DEST</u>	<u>N</u>
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These files are maintained by individual policy staff and others for personal convenience and reference purposes. These files include some email correspondence, clippings, reports and publications, staff notes, and other informational materials used in the course of staff support activities on behalf of the Governor. These materials have temporary, but not continuing usefulness. Electronic documents are maintained in Microsoft Outlook, Word or Excel, or as PDFs scanned via Adobe Acrobat, and are stored on the G Drive.

RETENTION: EVENT (Closed when superseded) + 6 months and destroy

<u>00024000.</u>	<u>LEGAL CORRESPONDENCE</u>	<u>EVT+2</u>	<u>SHSW</u>	<u>Y</u>
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These files include incoming regular and Microsoft Outlook email correspondence and copies of replies on miscellaneous legal subjects, correspondence, reports, notices and pleadings received from federal agencies or regarding other cases in which the State of Wisconsin has chosen not to participate, notary public investigation files, and miscellaneous materials not filed by subject matter, as well as internal correspondence concerning the matter in question. These records MAY INCLUDE PRIVILEGED ATTORNEY-CLIENT COMMUNICATIONS OR ATTORNEY WORK PRODUCT THAT ARE CONFIDENTIAL pursuant to Wis. Stat. § 905.03 and Wis. Newspress, Inc. v. Sch. Dist. of Sheboygan Falls, 199 Wis. 2d 768, 782-83, 546 N. W. 2d 143 (1996).

Microsoft Outlook email, electronic documents maintained in Microsoft Word or Excel, and PDF documents scanned via Adobe Acrobat are stored on the G Drive.

RETENTION: EVENT (End of term) + 2 years and transfer to State Archives (WHS)

<u>00025000.</u>	<u>JUDICIAL APPLICANTS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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Contains applications or correspondence from unsuccessful applicants applying for judicial appointments, and may include letters of recommendation for the individual, replies and related correspondence, including email.. These files may also contain office communications concerning the appointment.

Although the records are primarily paper, electronic contact information, as well as scanned PDF copies of some applicant records, are maintained in the Intranet Quorum Enterprise Contact Management and Workflow for Government ("IQ") database, a proprietary software application developed and licensed by Lockheed Martin. IQ is also used to generate some appointments-related correspondence. Information and documents maintained in IQ duplicate records in the paper file which is more complete. Copies of Microsoft Word documents, PDFs and scanned via Adobe Acrobat, and e-mail archived from Microsoft Outlook are maintained on the G Drive or in IQ.

RETENTION: EVENT (End of term) + 4 years and destroy confidential

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<u>00026000.</u>	<u>JUDICIAL APPOINTMENTS</u>	<u>EVT+4</u>	<u>SHSW</u>	<u>Y</u>
	<p>Contains applications and correspondence from individuals appointed to a judgeship, letters of recommendation and replies to such letters, letters of appointment, related correspondence, including email, as well as internal office communications concerning the appointment.</p> <p>Although the records are primarily paper, electronic contact information as well as scanned PDF copies of some appointment records are maintained in the Intranet Quorum Enterprise Contact Management and Workflow for Government ("IQ") database, a proprietary software application developed and licensed by Lockheed Martin. IQ is also used to generate some appointments-related correspondence. Information and documents maintained in IQ duplicate records in the paper file, which is more complete. Copies of Microsoft Word documents, PDF copies scanned via Adobe Acrobat, and e-mail archived from Microsoft Outlook are maintained on the G Drive or in IQ.</p> <p>RETENTION: EVENT (End of term) + 4 years and transfer to State Archives (WHS)</p>			
<u>00027000.</u>	<u>LEGISLATIVE FILES</u>	<u>EVT+2</u>	<u>SHSW</u>	<u>Y</u>
	<p>Files prepared for the Governor on all legislation submitted for his approval, veto or partial veto during a legislative session. These files may contain the bill, the bill history, DOA analysis, bill briefing memos, lead staff memos authored by legislative staffers or other internal memoranda regarding specific legislation, correspondence and other related materials. In addition, these files include correspondence from or to individual legislators or legislative committees, filed under the name of the legislator or committee, relating to a variety of topics other than, or in addition to, specific legislation. Electronic files are maintained in Microsoft Outlook, as Microsoft Word or Excel documents, or as PDFs scanned via Adobe Acrobat, and are stored on the G-Drive. THESE FILES MAY CONTAIN ATTORNEY-CLIENT COMMUNICATIONS OR ATTORNEY WORK PRODUCT that are CONFIDENTIAL pursuant to Wis. Stats. sec. 905.03 and Wis. Newspress, Inc. v. Sch. Dist. of Sheboygan Falls, 199 Wis. 2d 768, 782-83, 546 N. W. 2d 143 (1996).</p> <p>RETENTION: EVENT (End of term) + 2 years and transfer to State Archives (WHS)</p>			
<u>00028000.</u>	<u>COURTESY CORRESPONDENCE</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
	<p>These files include outgoing personal letters from the Governor or First Lady, including birthday wishes, thank you letters, get well wishes, congratulations, condolences, letters of recommendation, greetings to military personnel and other personal courtesy messages, as well as incoming courtesy correspondence addressed to either one. Some paper copies are maintained, but the electronic files, including Microsoft Outlook email, Microsoft Word documents or PDF versions scanned via Adobe Acrobat, are more complete. Electronic records are stored on the G Drive.</p> <p>RETENTION: EVENT (End of term) + 2 years and destroy confidential</p>			
<u>00030000.</u>	<u>GOVERNOR'S GENERAL CORRESPONDENCE</u>	<u>EVT+2</u>	<u>SHSW</u>	<u>Y</u>
	<p>These files contain the Governor's correspondence, incoming and outgoing, on official matters, including routine official matters, congressional correspondence and significant correspondence personally reviewed by the Governor relating to a variety of sensitive or otherwise important matters. Files may also include official correspondence handled by the First Lady as well as miscellaneous materials or communications related to the official correspondence. Some of this correspondence may be logged and tracked electronically, using Intranet Quorum Enterprise Contact Management and Workflow for Government, a proprietary software application developed and licensed by Lockheed Martin ("IQ"; see Contact Management and Workflow for Government, a proprietary software application developed and licensed by Lockheed Martin ("IQ"; see RDA # 00012). Electronic files are maintained in Microsoft Word or in PDF files scanned via Adobe Acrobat and are stored on the G Drive or in IQ.</p> <p>[*NOTE: This RDA is intended to capture official correspondence of the Governor that is not covered by other RDAs, such as 00003 (Policy Files) or #00012 (Constituent Correspondence).]</p> <p>RETENTION: EVENT (End of term) + 2 years and transfer to State Archives (WHS)</p>			
<u>00031000.</u>	<u>COURTESY CORRESPONDENCE - HANDWRITTEN</u>	<u>EVT+2</u>	<u>SHSW</u>	<u>Y</u>
	<p>These files contain copies of correspondence, hand-written by the Governor, in response to a significant event, such as a gift, a death in the recipient's family, illness or special recognition due the recipient.</p> <p>RETENTION: EVENT (End of term) + 2 years and transfer to State Archives (WHS)</p>			
<u>00032000.</u>	<u>BUILDING & LAND CONTRACT CORRESPONDENCE</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
	<p>Files contain correspondence and internal or agency-generated memoranda relating to state contracts signed by the Governor at the request of various state agencies. These files do not ordinarily contain copies of the contracts themselves, which are returned to the agency after signing by the Governor. Files include paper records as well as electronic documents created in Microsoft Word or Microsoft Outlook and stored on the G Drive.</p> <p>RETENTION: EVENT (End of term) + 2 years and destroy</p>			
<u>00033000.</u>	<u>SPECIAL COUNSEL CONTRACT FILES</u>	<u>EVT+6</u>	<u>SHSW</u>	<u>Y</u>

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Files contain correspondence, office memoranda, copies of some pleadings, contract documents, billing records and related materials relating to lawsuits filed against state employees or the State of Wisconsin or to cases in which the Governor has requested that the Department of Justice ("DOJ") initiate litigation on behalf of the State, where representation is not provided by the DOJ and private counsel is retained. These files may contain correspondence and office memoranda concerning the particular lawsuit, INCLUDING PRIVILEGED ATTORNEY-CLIENT COMMUNICATIONS OR ATTORNEY WORK PRODUCT THAT ARE CONFIDENTIAL pursuant to Wis. Stats. § 905.03 and Wis. Newspress, Inc. v. Sch. Dist. of Sheboygan Falls, 199 Wis. 2d 768, 782-83, 546 N. W. 2d 143 (1996). In addition to paper documents, the files also include electronic documents created in Microsoft Outlook, Microsoft Word or PDF documents scanned via Adobe Acrobat stored on the G Drive.

Note: DOJ maintains the original copies of the contracts and billing records, and administers payments made under the original contracts; retained special counsel maintains the complete file for a significant period of time pursuant to the Rules of Professional Responsibility.

RETENTION: EVENT (Conclusion of case) + 6 years and transfer to State Archives (WHS)

<u>00034000.</u>	<u>CLIPPING FILES</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
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These files contain clippings from print and electronic media around the state, as well as regional or national media, concerning the Governor, the Executive Office and substantive issues pertaining to the State of Wisconsin. Maintained chronologically by year, month and day, these records are stored electronically as sent emails in Microsoft Outlook. In addition, individual stories are also saved as Microsoft Word documents. All of these clipping records are stored on the G Drive.

RETENTION: EVENT (End of term) + 2 years and destroy

<u>00036000.</u>	<u>EXECUTIVE ORDERS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
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Contains copies of Executive Orders signed by the Governor and the Secretary of State. These files may contain correspondence and internal communications, including Microsoft Outlook email, concerning the particular order. In addition to paper copies, the files may include electronic copies in Microsoft Work, as well as PDFs of the originals scanned via Adobe Acrobat, showing both the Governor's and Secretary of State's signatures and the Great Seal. Electronic records are stored on the G Drive.

Note: Duplicate original signed and sealed copies are filed with the Chief Clerks of the Wisconsin Senate and Assembly, the President of the Senate, the Speaker of the Assembly and the Secretary of State.

RETENTION: EVENT (End of term) + 4 years and destroy

<u>00037000.</u>	<u>OPEN RECORD REQUESTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Files contain requests for records received by the Governor's Office pursuant to Wis. Stat. sec. 19.35, the response and associated documents. Files for which the request has been denied wholly or in part MAY CONTAIN PRIVILEGED ATTORNEY-CLIENT COMMUNICATIONS OR WORK PRODUCT that are confidential pursuant to Wis. Stats. § 905.03, and Wis. Newspress, Inc. v. Sch. Dist. of Sheboygan Falls, 199 Wis. 2d 768, 782-83, 546 N. W. 2d 143 (1996), AS WELL AS OTHER INFORMATION REQUESTED BY LAW TO BE KEPT CONFIDENTIAL for reasons stated in the files. In addition to paper files, some records are maintained in Microsoft Outlook, Microsoft Word or in PDFs scanned via Adobe Acrobat. Electronic records are stored on the G Drive.

RETENTION: EVENT (End of term) + 3 years and destroy confidential

<u>00038000.</u>	<u>AMICUS LITIGATION FILES</u>	<u>EVT+1</u>	<u>SHSW</u>	<u>N</u>
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Files consist of correspondence, including email, and occasional pleadings or briefs, relating to lawsuits in which the State of Wisconsin files a motion to intervene as a friend of the court on behalf of the best interests of the people of the State of Wisconsin. Participation in these lawsuits is ordinarily handled by the Department of Justice, which maintains the complete file unless special counsel is secured. The FILES MAY CONTAIN correspondence and internal memoranda concerning the lawsuit, including PRIVILEGED ATTORNEY-CLIENT COMMUNICATIONS OR WORK PRODUCT THAT ARE CONFIDENTIAL pursuant to Wis. Stats. § 905.03 and Wis. Newspress, Inc. v. Sch. Dist. of Sheboygan Falls, 199 Wis. 2d 768, 782-83, 546 N. W. 2d 143 (1996). In addition to paper files, some documents are maintained in Microsoft Outlook, Microsoft Word or as PDFs scanned via Adobe Acrobat. Electronic records are stored on the G Drive.

RETENTION: EVENT (End of term) + 1 year and transfer to State Archives (WHS)

<u>00039000.</u>	<u>DEPARTMENT OF JUSTICE REPRESENTATION FILES</u>	<u>EVT+4</u>	<u>SHSW</u>	<u>Y</u>
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Case files consisting of correspondence, some pleadings or related case materials for lawsuits filed against the Governor or the State of Wisconsin which are referred to the Department of Justice ("DOJ") for legal representation, as well as files for cases in which either the Governor or the Attorney General has requested that DOJ initiate litigation on behalf of the State of Wisconsin. These files may include correspondence and internal communications, including email, containing ATTORNEY-CLIENT COMMUNICATIONS OR ATTORNEY WORK PRODUCT THAT ARE CONFIDENTIAL pursuant to Wis. Stats. § 905.03 and Wis. Newspress, Inc. v. Sch. Dist. of Sheboygan Falls, 199 Wis. 2d 768, 782-83, 546 N. W. 2d 143 (1996). Electronic files are maintained in Microsoft Outlook, Microsoft Word or as PDFs scanned via Adobe Acrobat. Electronic records are stored on the G Drive.

Note: DOJ maintains the complete file based on the referral and request for representation from the Governor's Office. The majority of these files are closed at the end of the Governor's term, but the relatively small number of open cases need to be maintained into the term of a successor administration.

RDA #	RDA Title	Retention	Disposition	PII
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RETENTION: EVENT (Closed or end of term, whichever is later) + 4 years and transfer to State Archives (WHS)

<u>00040000.</u>	<u>COUNTY OFFICE APPOINTMENTS</u>	<u>EVT+1</u>	<u>SHSW</u>	<u>Y</u>
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Contains application materials and correspondence from individuals appointed to the county positions of coroner, district attorney, register of deeds or sheriff. These files may also include letters of recommendation, related correspondence including email, copies of press releases, letters of appointment, internal communications and tracking information concerning the appointment.

Although the records are primarily paper, electronic contact information as well as scanned PDF copies of some appointment records are maintained in the Intranet Quorum Enterprise Contact Management and Workflow for Government ("IQ") database, a proprietary software application developed and licensed by Lockheed Martin. IQ is also used to generate some appointments-related correspondence. Information and documents maintained in IQ duplicate records in the paper file, which is more complete. Copies of Microsoft Word documents, PDF copies scanned via Adobe Acrobat, and e-mail archived from Microsoft Outlook are maintained on the G Drive or in IQ.

RETENTION: EVENT (End of term) + 1 year and transfer to State Archives (WHS)

<u>00041000.</u>	<u>COUNTY OFFICE APPLICANTS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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Files contain applications and correspondence from individuals who applied unsuccessfully for the county positions of coroner, district attorney, register of deeds or sheriff. These files may also include letters of recommendation, related correspondence including email, and internal communications concerning the appointment.

Although the records are primarily paper, electronic contact information as well as scanned PDF copies of some applicant records are maintained in the Intranet Quorum Enterprise Contact Management and Workflow for Government ("IQ") database, a proprietary software application developed and licensed by Lockheed Martin. IQ is also used to generate some appointments-related correspondence. Information and documents maintained in IQ duplicate records in the paper file, which is more complete. Copies of Microsoft Word documents, PDF copies scanned via Adobe Acrobat, and e-mail archived from Microsoft Outlook are maintained on the G Drive or in IQ.

RETENTION: EVENT (End of term) + 1 year and destroy confidential

<u>00042000.</u>	<u>CABINET AGENCY APPOINTMENTS</u>	<u>EVT+1</u>	<u>SHSW</u>	<u>Y</u>
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These files contain general information, correspondence, clippings and press releases relating to each cabinet agency, as well as materials relating to cabinet secretary appointments within the particular cabinet agency. Materials relating to specific appointments include related correspondence, including email, letters of appointment and related documentation regarding Senate confirmation.

Although the records are primarily paper, electronic contact information, some correspondence, as well as scanned PDF copies of some appointment records are maintained in Intranet Quorum Enterprise Contact Management and Workflow for Government ("IQ") database, a proprietary software application developed and licensed by Lockheed Martin. IQ is also used to generate some appointments-related correspondence. Information and documents maintained in IQ duplicate records in the paper file which is more complete. Copies of Microsoft Word documents, PDF copies scanned via Adobe Acrobat, and e-mail archived from Microsoft Outlook are maintained in IQ or on the G Drive.

RETENTION: EVENT (End of term) + 1 year and transfer to State Archives (WHS)

<u>00043000.</u>	<u>APPOINTMENT VETTING FILES</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
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Vetting files are created by Appointments staff at the time the Governor considers candidates for appointment to individual board, commission, judicial and county office positions. Vetting files are also created for some appointments to the Governor's staff, cabinet secretary appointments, and may include other agency positions as well. In addition to duplicate copies of some applications, these files, maintained under the name of the individual candidate, may contain correspondence, including email, and a variety of highly personal information, including private contact information, social security numbers, information provided only after a promise of confidentiality, privileged attorney-client communications or work product, driver records, criminal history and credit check information, and notations concerning reference checks. all of this material is sensitive, and much of it is required by law to be kept confidential. See, e.g. Wis. Stat. secs. 19.36 (11) and (13) and 905.03, 15 U.S.C. sec. 601 et sea. and 42 U.S.C. sec. 405(c)(2)(C)(viii); see also Wis. Stat. sec. 19.85(1)(f); Wis. Newspress, Inc. v. Sch. Dist. of Sheboygan Falls, 199 Wis. 2d 768, 782-83, 546 N. W. 2d 143 (1996); Mayfair Chrysler-Plymouth, Inc. v. Baldarotta, 162 Wis. 2d 142, 164-68, 469 N.W. 2d 638 (1991); 74 Op. Att'y Gen. 14 (1985). Electronic records, including Microsoft Outlook email, are stored on the G Drive.

Note: Official copies of individual applications are maintained in the individual applicant's or appointee's file.

RETENTION: EVENT (Creation) + 1 year and destroy confidential

<u>00044000.</u>	<u>PHOTO ARCHIVES</u>	<u>EVT</u>	<u>SHSW</u>	<u>Y</u>
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Photo archives include photos and images of events the Governor has attended, as well as miscellaneous photos relating to the Governor's Office, the First Lady, and staff. These photos are maintained, primarily as jpeg files, on the G Drive.

Note: Transfer to the Wisconsin Historical Society with authority to weed.

Dept #: /525/

Department Name: EXECUTIVE OFFICE - OFFICE OF THE GOVERNOR

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
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RETENTION: EVENT (End of term) and transfer to State Archives (WHS)

<u>00045000.</u>	<u>CASEWORK CORRESPONDENCE</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Correspondence from constituents concerning the problems of individual citizens vis a vis the State of Wisconsin, agencies of state government or other units of federal or local government ("casework correspondence"). Casework files are logged, numbered and tracked electronically according to the government agency involved, using Intranet Quorum Enterprise Contact Management and Workflow for Government ("IQ"), a proprietary software application developed and licensed by Lockheed Martin. Once a casework inquiry is logged, IQ creates a coversheet which is routed to the government agency involved, and which, in turn, ordinarily provides a copy of its response to the constituent. Casework files frequently contain a great deal of personally identifiable information, SOME OF IT CONFIDENTIAL BY STATUTE, such as tax or patient health care records, see, e.g. Wis. Stat. §§ 71.78, 72.06 and 146.82.

In addition to paper documents, electronic records, including Microsoft Outlook email, Word or Excel documents, or PDFs scanned via Adobe Acrobat are maintained in IQ or on the G Drive.

RETENTION: EVENT (End of term) + 3 years and destroy confidential